



# ORCID and the OSTP Guidance on NSPM-33

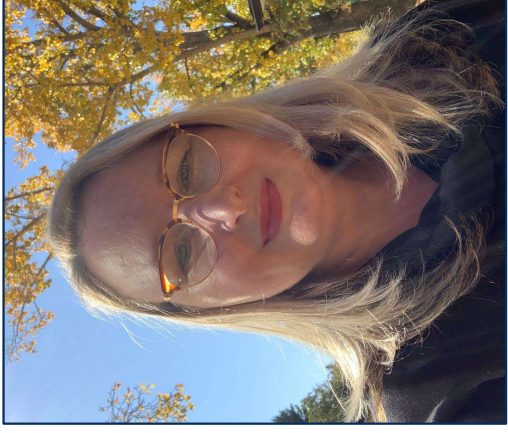


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(Research, Innovation & Impact)*

**University of Arizona**

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*Engagement Manager, Outreach and Partnerships*

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**Sheila Rabun**

*Program Leader for Persistent Identifier Communities*

**LYRASIS**

 <https://orcid.org/0000-0002-1196-6279>

## **Disclosure**

**Lori Schultz joined the ORCID Board of Directors in January 2022.**

# In the News...

Department of Justice  
U.S. Attorney's Office  
District of Massachusetts

SHARE 

FOR IMMEDIATE RELEASE

Tuesday, December 21, 2021

## Harvard University Professor Convicted of Making False Statements and Tax Offenses

Dr. Charles Lieber found guilty of concealing his affiliation with the Wuhan University of Technology and his participation in China's Thousand Talents Program

NEWS | 07 March 2022

## 'I lost two years of my life': US scientist falsely accused of hiding ties to China speaks out

Acquitted nanotechnology researcher Anming Hu returns to his lab after two years – and is still grappling with the aftershocks of his ordeal.

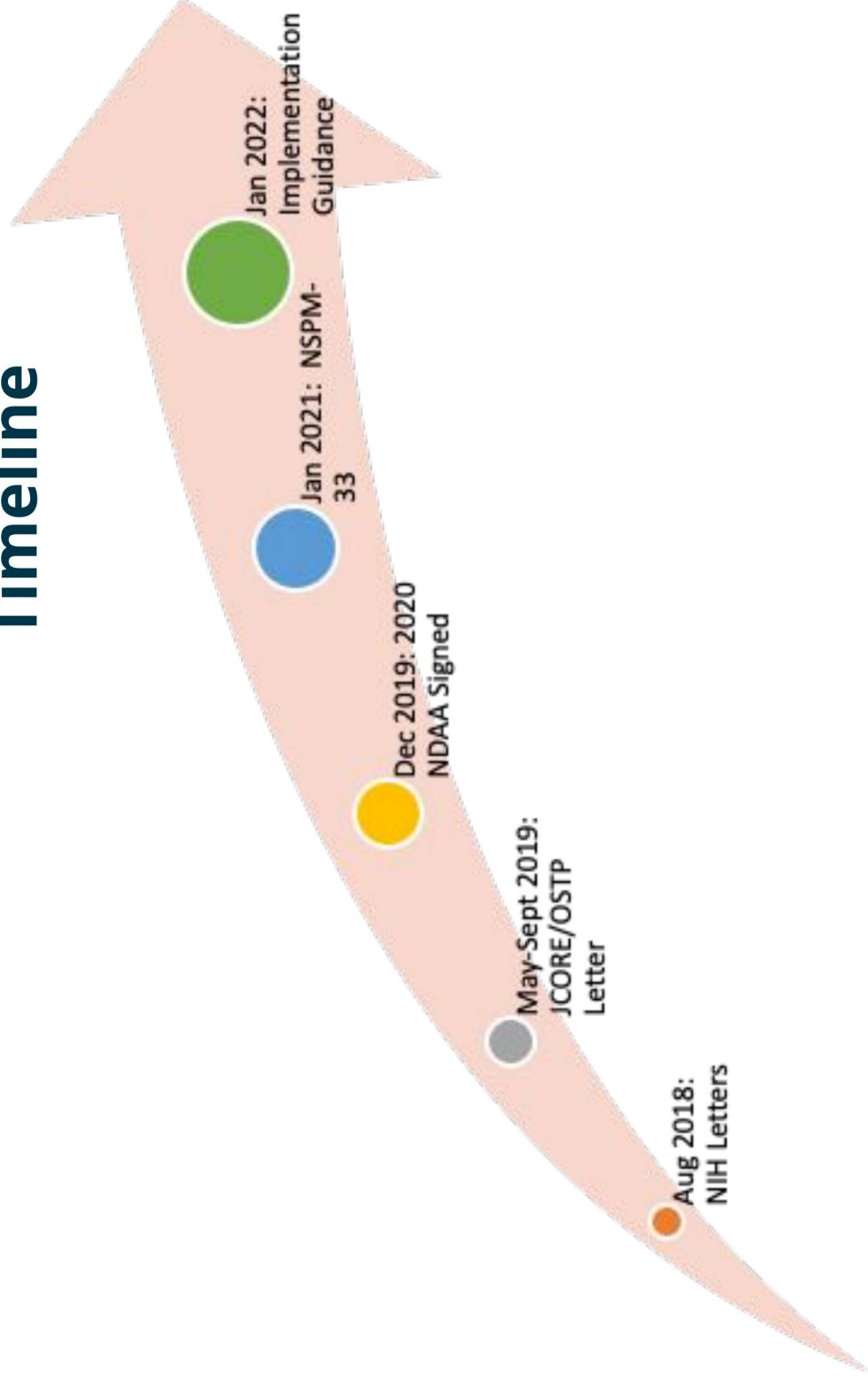
## *U.S. Drops Its Case Against M.I.T. Scientist Accused of Hiding China Links*

Gang Chen, a professor of mechanical engineering, was arrested a year ago, accused of concealing his affiliations with Chinese government institutions.

## How does Foreign Influence manifest?

- Violating confidential peer review process (both manuscripts and proposal applications)
- Taking IP from US and filing patents outside the US
- Appointments/affiliations that duplicate US federal funding/effort (and aren't disclosed)
  - Foreign talent programs
  - Other support that overlaps

# Timeline



# January 2022 OSTP Implementation Guidance

## 5 key sections:

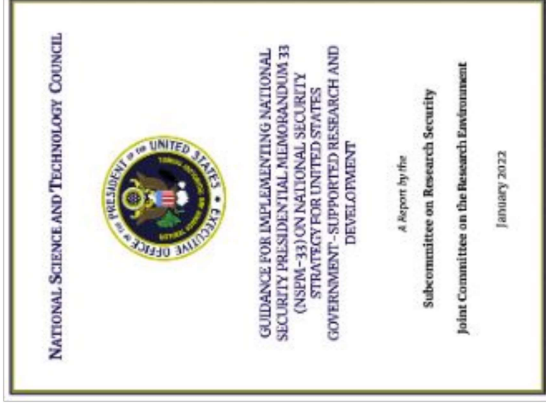
1. Disclosure Requirements and Standardization
  - Biosketches
  - Current & Pending Support / Other Support
2. Digital Persistent Identifiers
3. Consequences for Violation of Disclosure Requirements
4. Information Sharing
5. Research Security Programs

# NSPM-33

## National Science and Technology Council (NSTC)

GUIDANCE FOR IMPLEMENTING NATIONAL SECURITY PRESIDENTIAL MEMORANDUM 33

- Adopt digital persistent identifiers to ease reporting and compliance
- Reduce administrative burden
- Disambiguates one researcher from another
- Researcher controls the content in their record or profile
- DPI is free to researchers
- DPI enables interoperability between systems





Poll #1



# ORCID

## Connecting Research and Researchers

# A Few ORCID Facts

- Independent not-for-profit open to participation by all
- Registry launched in 2012
- Sustained by fees from our member organizations
- Guided by our [values and founding principles](#)
- Community-governed by a Board of Directors representative of our membership



# ORCID, which stands for Open Researcher and Contributor Identifier, provides three main services



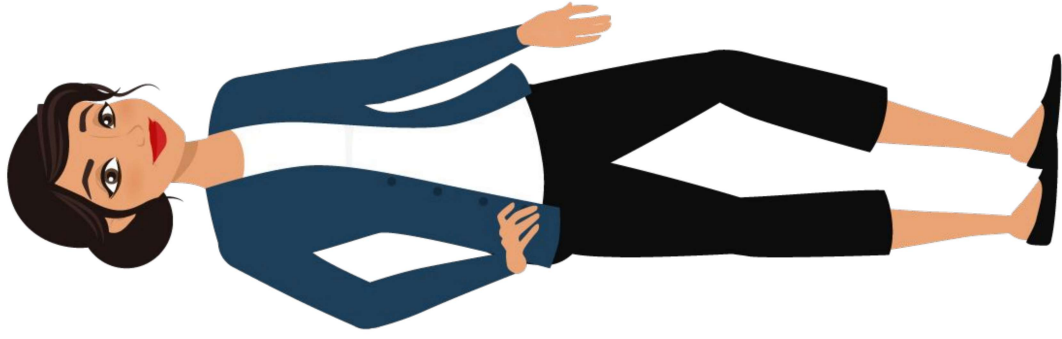
1. The ORCID iD: a unique, persistent identifier free of charge to researchers



2. An ORCID record/digital cv connected to the ORCID iD, that can include employment, education and research output metadata



3. A set of Application Programming Interfaces (APIs), as well as the services and support of communities of practice that enable interoperability between an ORCID record and member organizations



# Sofia Maria Hernandez Garcia

Name  
Sofia Garcia

Also known as  
S. M. Garcia, Sofia Maria Garcia

**Biography**  
Sofia Maria Hernandez Garcia is used for testing and demonstrating ORCID records.

**Activities**  
Collapse all  
▼ Employment (2) Sort

**New Arizona State University: Sedona, Arizona, US**  
2015-09 to present | Associate Professor (Department of Geography)  
Employment Show more detail  
**Source:** Sofia Maria Hernandez Garcia

**ORCID: Bethesda, Maryland, US**  
2014-05-01 to 2019-10-25 | Engagement Lead  
Employment Show more detail  
**Source:** ORCID *via* Assert-o-matic

▼ **Education and qualifications (4)** Sort

**London School of Physics: London, GB**  
2016 to 2018 | PHD (Computer Science)  
Qualification Show more detail  
**Source:** Sofia Maria Hernandez Garcia

**Universidad Politécnica de Madrid: Madrid, Comunidad de Madrid, ES**  
2008-09 to 2012-05 | BA Computer Science  
Education Show more detail  
**Source:** Sofia Maria Hernandez Garcia

**id**  
<https://orcid.org/0000-0001-5727-2427>

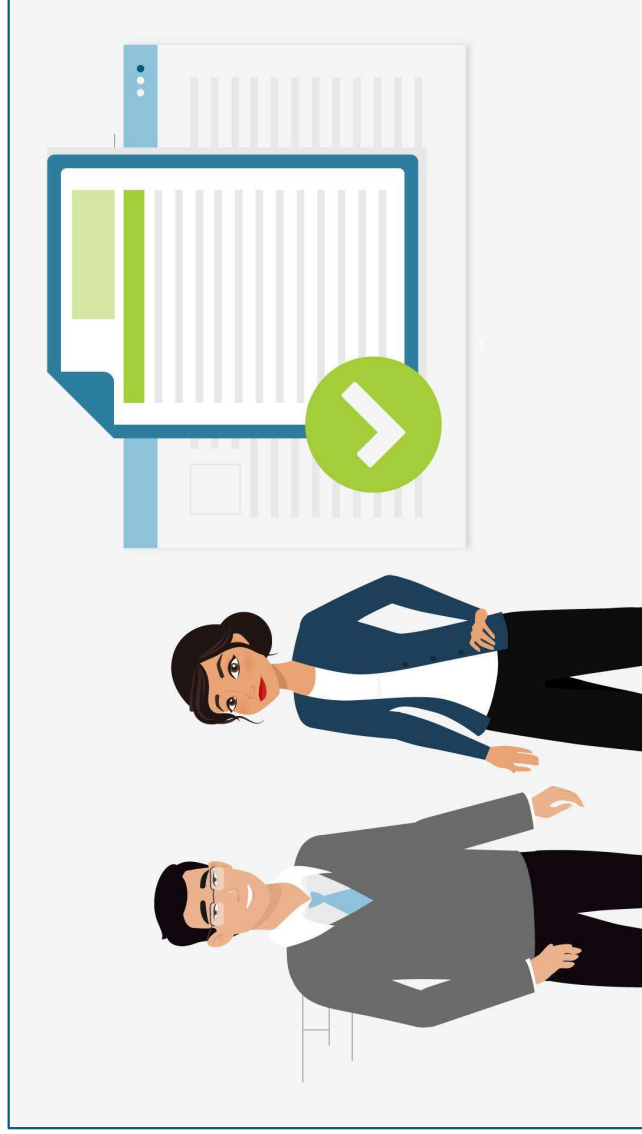
**Emails**  
s.garcia@orcid.org







**Websites & social links**  
Faculty profile webpage  
@sofiambhg

**Other IDs**  
Profile system Identifier: A-123456  
ResearcherID: L-8716-2018  
eScientist: 0000-0001-5727-2427

**Countries**  
United States

# Researchers can access all their research information via their own unique ORCID profile, to be used wherever they need it.

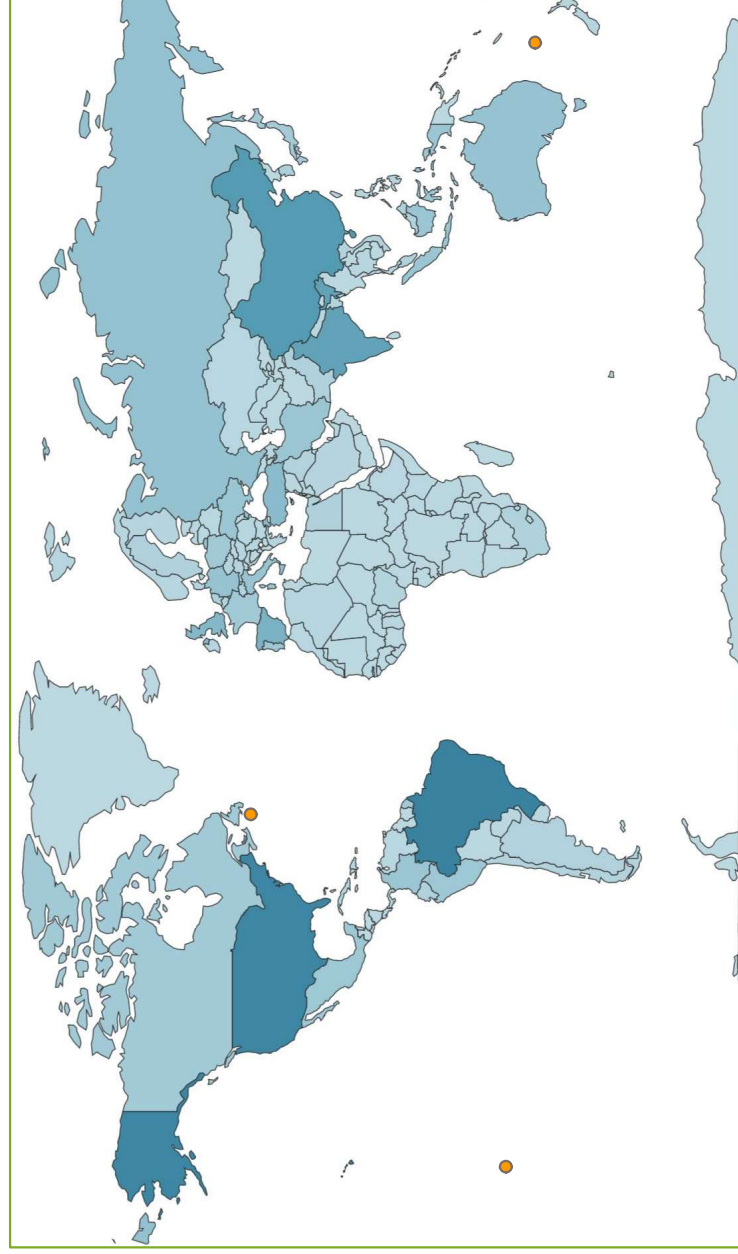


	<b>Uniquely yours.</b> Distinguish yourself and claim credit for your work while controlling access to your data, no matter how many people have your same (or similar) name.
	<b>Name flexibility.</b> ORCID helps reduce the negative consequences of name changes so you will no longer be limited to the name you used when you began your career.
	<b>More time for research.</b> By allowing trusted organizations to add your research information to your ORCID record, you can spend more time conducting your research and less time managing it!
	<b>Control your visibility and discovery.</b> ORCID links all your research together, while you control the visibility of each piece of data. Easily see links to your research activities in one place—affiliations, funding, publications, and other contributions.
	<b>Reduced administrative burden.</b> Experience greater ease as an increasing number of manuscript submission and grant application forms can be auto-populated when you log into their systems with your ORCID. Spend less time re-entering your data!
	<b>Portable profile data.</b> Easily share the data in your record with an increasing number of funding, publications, data repositories, and other research workflows.



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# ORCID is broadly used by researchers around the world



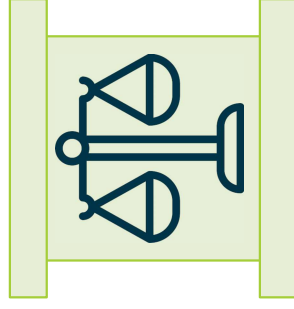
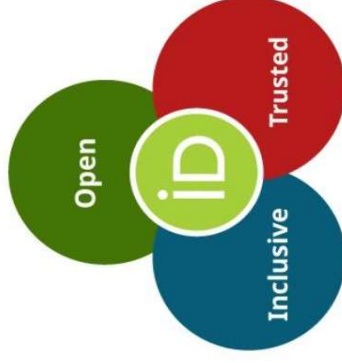
## There are ORCID users in 246 countries

That's every country on the planet apart from,

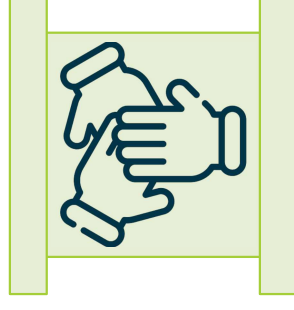
- Niue - island nation in Oceania, pop. 2k
- Norfolk Island - Australian island, South Pacific, pop. 2k
- Saint Pierre and Miquelon - French archipelago south of Newfoundland, pop. 6k

# ORCID was built from the ground up to win the broadest possible trust of the communities we serve

- Legal incorporation as US non-profit entity
- Membership organization open to all
- Governed by board elected by our members
- Legally binding membership agreements
- Privacy policy regulated by GDPR and other national regulations
- Legally binding employment agreements, code of conduct, etc



## Legal Constructs



## Social Constructs

- Founding principles and values
- Commitment to researcher control
- Open source software and FAIR open data
- Equitable, sustainable business model
- Holding ourselves accountable by working openly
- Continuous community engagement and dialog



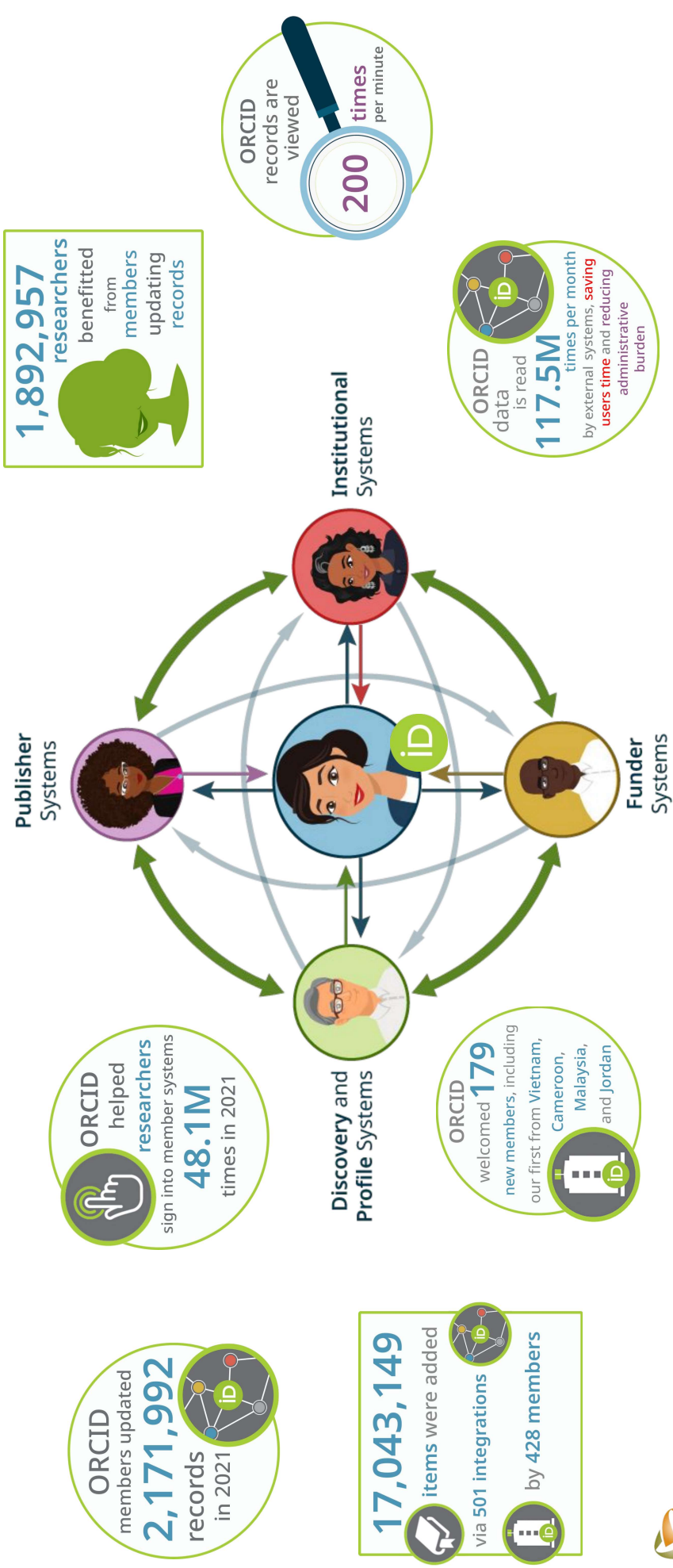
# Researchers are in full control of their ORCID profiles

- Fine-grained privacy controls let researchers control the visibility of each item in their record
- Data can only be added to the record with researcher's permission
- Consider writing to the Employment & Education sections

The screenshot displays two sections of an ORCID profile: Employment and Education. Each section has a dropdown menu to select visibility settings. The Employment section shows three options: Everyone (green), Trusted parties (yellow), and Only me (red). The Education section shows the same three options. Below the Employment section, there is a list of employment records for NYU School of Medicine, including a record from 2009-07-01 to present as a Clinical Assistant Professor of Dermatology. Below the Education section, there is a record for the University of Georgia, Athens, GA, US, from 2021-08 to present as a Graduate Student.





Section	Item	Who can see this?
Employment (3)	NYU School of Medicine: New York, NY, US	Everyone
	2009-07-01 to present   Clinical Assistant Professor of Dermatology (Dermatology Employment)	Trusted parties
	Source: New York University	Only me
Education and qualifications (1)	University of Georgia: Athens, GA, US	Everyone
	2021-08 to present   Graduate Student Education	Trusted parties

# ORCID is a hub for an immense amount of profile activity with over 3,900 interconnected systems



# ORCID allows Universities and Research Institutions to stay up to date with the research that comes from their scholars — while making their lives easier.



	<b>Name disambiguation.</b> Have confidence that you have correctly identified contributions from your researchers, regardless of the popularity or variability of their names.
	<b>Better research connections.</b> Follow your researchers' careers even after they leave your institution. Keep better track of collaborators and peers at other institutions.
	<b>Reduce costs.</b> Reduce the costs required to track the research that comes from your institution by automatically accessing authoritative trusted publication and funding data from your researchers' ORCID records.
	<b>Improved visibility of outputs.</b> Improve the visibility of your researchers' outputs and ensure they get the recognition they deserve by automatically writing authoritative, trusted affiliation data via integration with the ORCID registry.
	<b>Reduced administrative burden.</b> Increase both efficiency and quality in critical processes like assessment exercises. Avoid time spent re-entering data during submission, review, and reporting. When your researchers have more time to spend on research, you save money!
	<b>Interconnected infrastructure.</b> The ORCID registry is an open, interconnected hub of profile data. By integrating with ORCID, you can contribute affiliation data and extend the reach of your systems. Sharing data with ORCID can help you to avoid being locked into costly, proprietary systems.

# Member universities can increase the trustworthiness of ORCID records by writing validated data to researcher's records (with their permission)

✓ **Employment (3)**

**NYU School of Medicine: New York, NY, US**

2009-07-01 to present | Clinical Assistant Professor of Dermatology (Dermatology, Employment)

**Source:** New York University

**NYU Langone Medical Center: NY, NY, US**

2007-11 to 2012-04 | Assistant Nurse Manager (Women's & Childrens) Employment

**Source:** Gladys Vallespir Ellett

✓ **Education and qualifications (1)**

**University of Georgia: Athens, GA, US**

2021-08 to present | Graduate Student Education

**Source:** University of Georgia - Affiliation Manager via ORCID Member Portal

**University of Washington: Seattle, WA, US**

2011 | PhD (Political Science) Education

**Source:** Heather Pool



# Member Affiliation Report



# Many common Research Information Management (RIM) platforms can write to ORCID profiles...

- Clarivate Converis
- Elsevier Pure
- ExLibris Esploro
- Haplo
- Symplectic Elements
- Vidatum
- DSpace CRIS (Open Source)
- NZ ORCID Hub (Open Source)

# ORCID



Employment



Education



Funding



Works

# ... as can key Funding management platforms

- Altum ProposalCENTRAL
- SmartSimple
- Vidatum Academic
- Digital Science CC Grant Tracker

# ORCID



Funding

# ORCID is already integrated with NIH & NSF's Digital CV system "SciENcv"

**Create New Profile**

You have 3 options for creating a new profile in SciENcv:

From scratch | From an external source | From an existing profile

**Name:** Dorothy's CV2  
Enter a name to help you to identify this profile

**Type of profile:** NIH Biosketch  
Additional profile types will be added later this year.

**External source:** ORCID  
Your ORCID account is linked to SciENcv.

**Sharing:**  Public  Private  
You can change the shared settings for this profile at any time.

Create | Cancel

	id	NIH Biosketch
1.	Biography	Personal Statement
2.	Employment	Positions and Honors
3.	Education	Education/Training
4.	Works	Citations & Contribution to Science
5.	Funding	Additional Information: Research Support and Scholastic Performance

1. Researchers can import data from their ORCID profiles into SciENcv




2. SciENcv maps the ORCID profile fields into the relevant biosketch format



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# Many organizations are already writing validated data to ORCID Records

Universities Employment and Education	Publishers Publications and Reviews	Funders Funding and Facility Awards
		



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# Many NCURA members are already ORCID members



47.3% of NCURA members are at an ORCID Member Institution.



Go to: <https://orcid.org/members> to see if your organization is a member



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## ORCID Member Organizations

ORCID is a non-profit organization supported by a global community of organizational members, funders, professional associations, and other stakeholders in the research ecosystem. Interested? Learn more about membership

There are currently 173 ORCID Member Organizations

[All members](#) | [Consortia members](#)

United States

ALL A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

### American University

Research Institute | United States

American University creates meaningful change in the world. With highly ranked schools and recognized faculty, AU offers a balance between class time and career-advancing experience in and beyond. Its students, among the country's most politically active, distinguish themselves for their ability to rethink global and domestic challenges and opportunities.

### Arizona State University

Research Institute | United States

Arizona State University is the largest public university in the United States. ORCID is incorporated into ASU's library system as well as through the research office's experts.asu.edu, an instance of the ORCID system for finding expertise based on scholarly work data. Individual experts are profiled faculty members. ORCID IDs that can be incorporated into experts.asu.edu

### Auburn University

Research Institute | United States



Auburn University is one of the nation's premier land, sea, and space grant institutions. Consistent with the World Report's list of top 50 public universities, it is both highly research-active and committed to teaching excellence, offering 140 degree options in 13 schools and colleges. With an enrollment of over 30,000 students, Auburn University is nationally recognized for its commitment to academic excellence, positive student life, and the beauty of its campus. It is located in the small, friendly college town of Auburn, Alabama, 115 miles southwest of Atlanta, Georgia.

### Augusta University

# ORCID US Community

ORCID

Connecting Research  
and Researchers

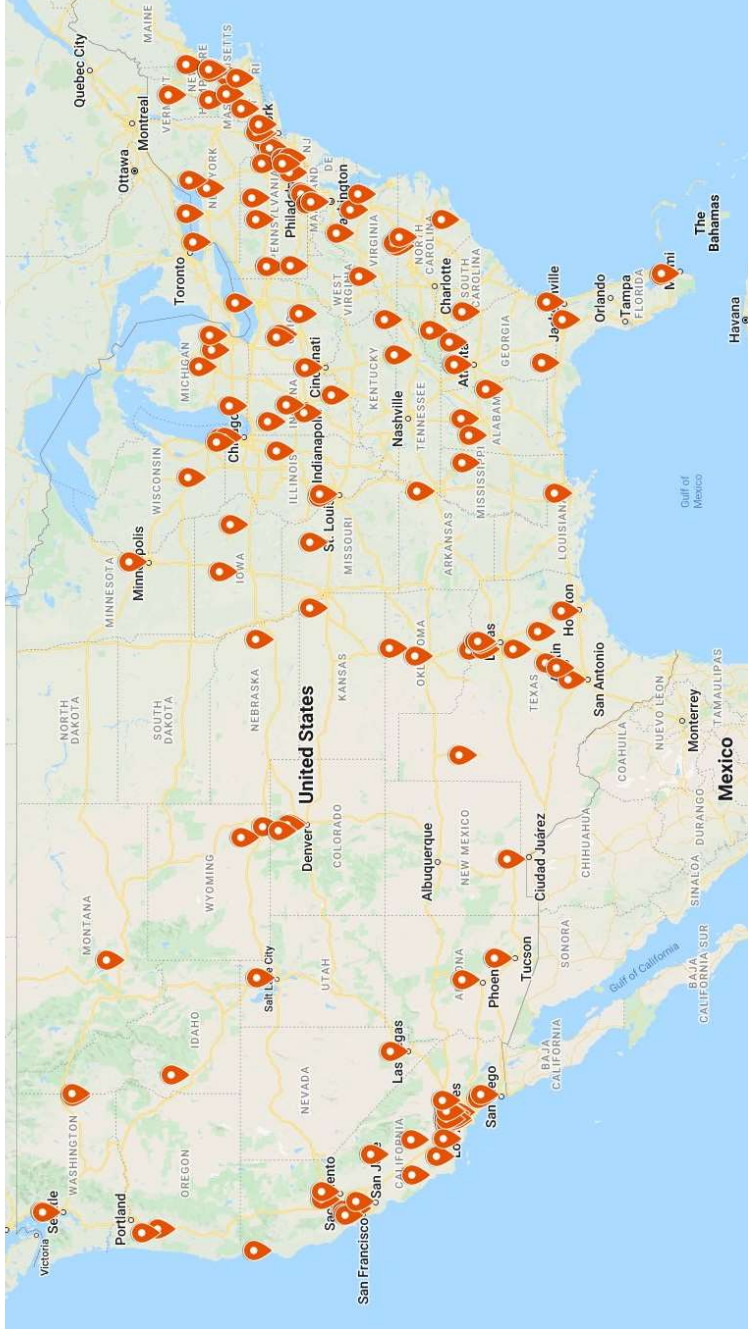
Consortium Member  
Organization



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# ORCID US Community consortium

170+ non-profit member organizations



- Member organizations include:
- Universities
  - Libraries
  - Research Offices
  - Research Institutes
  - Research Funders
  - Societies & Associations
  - Health & Hospital Systems
  - Research Groups

Partnership between the Big Ten Academic Alliance, Greater Western Library Alliance, NorthEast Research Libraries, & LYRASIS.



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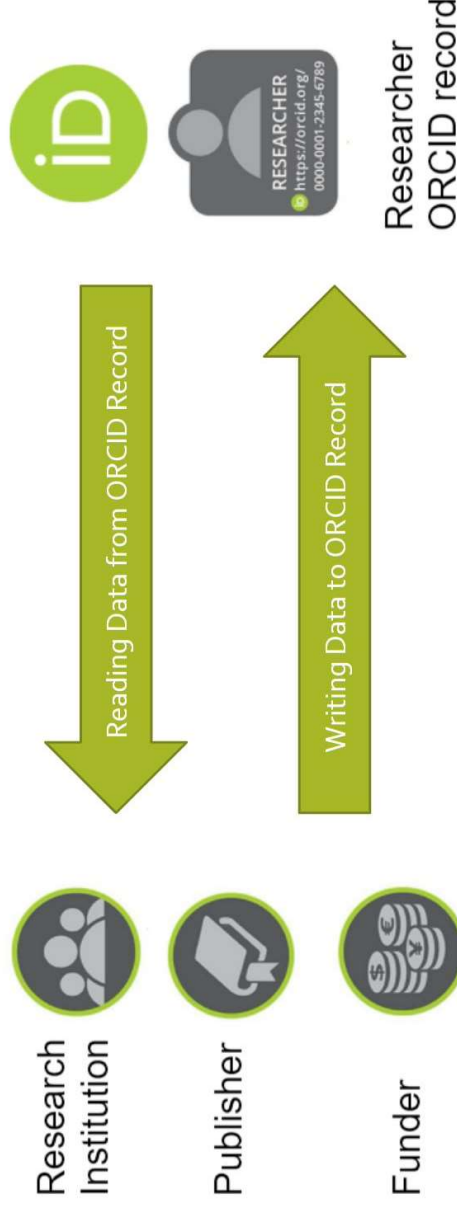
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<https://orcidus.lyrasis.org/current-members/>

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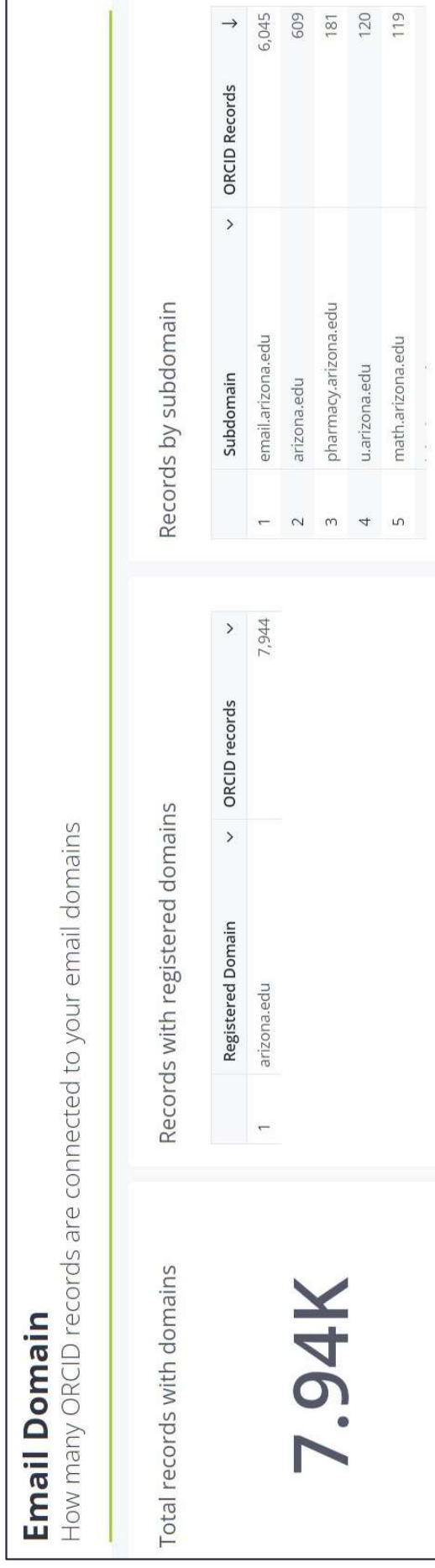
# ORCID US Community member benefits

- 5 Premium ORCID Member API keys for ORCID integration with local systems; allows institutions to:
  - Get researchers' authenticated ORCID iDs
  - Read data from researchers' ORCID records
  - Write data to researchers' ORCID records
  - Sync data between ORCID & local systems

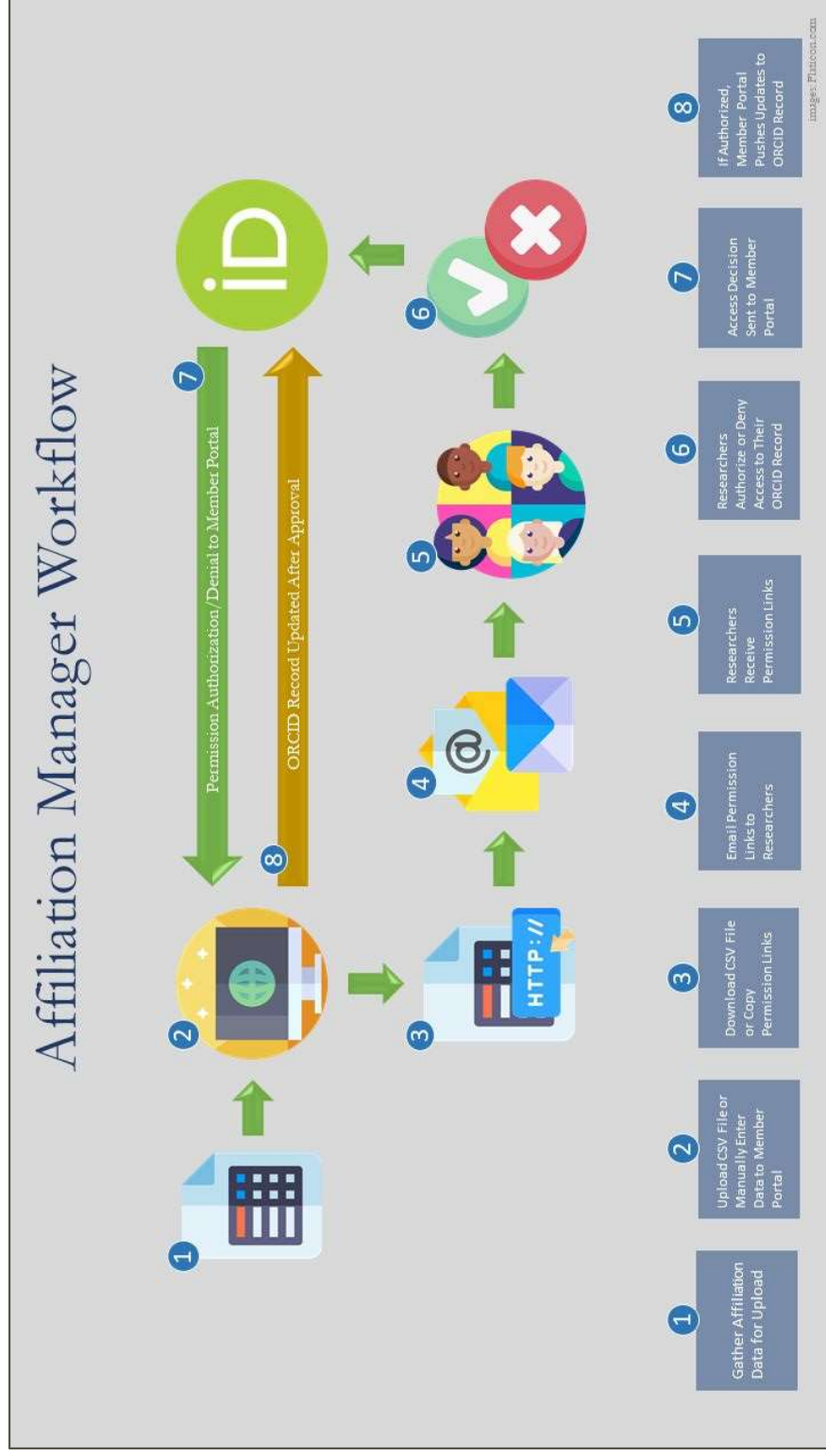


# ORCID US Community member benefits

- Access to the ORCID Member Portal, which provides access to:
  - Usage/stats reports specific to your organization
  - Affiliation Manager tool



# ORCID Affiliation Manager Tool



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<https://info.orcid.org/affiliation-manager/>

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# ORCID US Community member benefits

- Reduced membership fee
- Dedicated technical support and community resources:  
<https://orcidus.lyrasis.org/>
- Community of practice
  - ORCID US Community Awards
  - ORCID US Community Members Discussion Forum





# Action Items

- ❑ Check to see if your organization is already an ORCID member
  - ❑ If yes, find out who is already involved
  - ❑ If no, consider joining the ORCID US open listserv (<http://lyralists.lyrasis.org/mailman/listinfo/orcid-us>) to stay in the loop, and email us ([orcidus@lyrasis.org](mailto:orcidus@lyrasis.org)) to ask about potential membership

## Resources to Check:

- List of ORCID Member Organizations: <https://orcid.org/members>
- List of ORCID US Community Member Organizations: <https://orcid.org/members/001G000001wND7XIAW-lyrasis>
- ORCID US Community open listserv: <http://lyralists.lyrasis.org/mailman/listinfo/orcid-us>
- Email [orcidus@lyrasis.org](mailto:orcidus@lyrasis.org) with any questions



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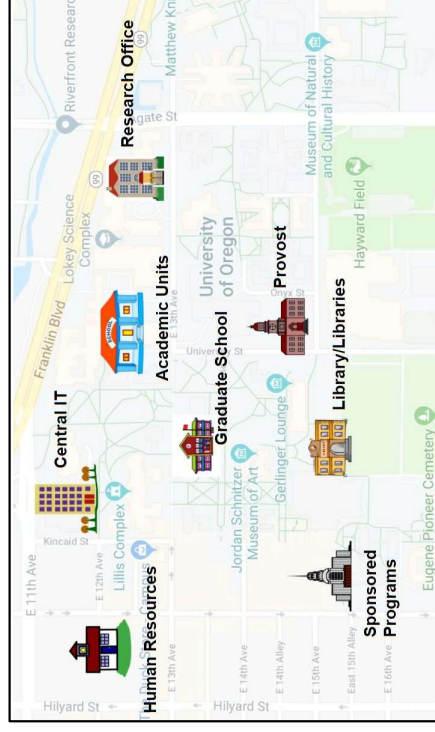
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**ORCID**  
Connecting Research  
and Researchers

Member  
Organization

# Action Items

- ❑ Coordinate with other stakeholders at your organization (consider forming a committee with executives and staff from different stakeholder units)
  - ❑ Library
  - ❑ Research Office
  - ❑ Sponsored Programs
  - ❑ Central IT
  - ❑ Etc.



## Resources to Check:

- ORCID US Planning Guide: <https://orcidus.lyrasis.org/planning-guide/>
- Value of ORCID one-pager: <https://orcidus.lyrasis.org/value-of-orcid/>
- Partnering with Internal Stakeholders to Adopt ORCID: <https://lyrasisnow.org/partnering-with-internal-stakeholders-to-adopt-orcid/>



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# Action Items

- ❑ Take inventory of which campus systems could be leveraged to write data to researchers' ORCID records via the ORCID API
  - ❑ Research Information Management
  - ❑ Grants Management
  - ❑ Publishing or Repository Systems
  - ❑ HR Systems or Central ID Management
  - ❑ Etc.



## Resources to Check:

- Common Systems for ORCID Integration: <https://orcidus.lyrasis.org/common-systems-for-integration/>
- ORCID API Basics one-pager: <https://orcidus.lyrasis.org/api-basics/>
- Types of Data in ORCID Records: <https://orcidus.lyrasis.org/data-fields/>
- ORCID Custom Integration Guide: <https://orcidus.lyrasis.org/technical-integration-guide/>



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# Action Items

- ❑ Educate researchers about ORCID
  - ❑ Do researchers have their ORCID iDs?
  - ❑ Do researchers have information in their ORCID records?
  - ❑ Do researchers understand how ORCID can benefit them?

## Resources to Check:

- ORCID US Community Outreach Planning Guide: <https://orcidus.lyrasis.org/outreach-planning-guide/>
- ORCID US Community Outreach Resources: <https://orcidus.lyrasis.org/outreach-resources/>
- Blog: Presenting the Value of ORCID to Researchers: <https://lyrasisnow.org/presenting-the-value-of-orcid-to-researchers/>
- Blog: ORCID & SciENcv: <https://lyrasisnow.org/sciencv-and-orcid-to-streamline-nih-and-nsf-grant-applications/>
- ORCID for Researchers: <https://info.orcid.org/researchers/>



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# Stay Connected

- Policies related to NSPM-33 and ORCID are still in progress
- Join the ORCID US Community open listserv (<http://lyralists.lyrasis.org/mailman/listinfo/orcid-us>) to stay in the loop with ORCID-specific updates
- Coming soon from the ORCID US Community:
  - NSPM-33 & ORCID Guide
  - NSPM-33 & ORCID Webinar(s)
  - Other ORCID-related community calls, etc.
- Contact us with any questions: [orcidus@lyrasis.org](mailto:orcidus@lyrasis.org)



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Consortium Member  
Organization

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# Poll #2



# There are two ORCID member consortia in the US

## Federal Agencies

US Government  
ORCID Consortium

Organized by the US Department of Energy  
Office of Scientific and Technical Information

17 members

[ORCIDconsortium@osti.gov](mailto:ORCIDconsortium@osti.gov)

## Non-profit organizations (Universities)



172 members

[orcidus@lyrasis.org](mailto:orcidus@lyrasis.org)

# Ten federal agencies are current ORCID members

1. Centers for Disease Control (CDC)
2. Department of Energy (DOE) OSTI
3. Environmental Protection Agency - EPA
4. Federal Reserve Bank of St. Louis
5. Food and Drug Administration (FDA)
6. NASA
7. National Institute of Health (NIH)
8. NIST
9. USDA
10. NOAA
11. USGS
12. A number of agencies have expressed interest





# And several user research facilities are also members

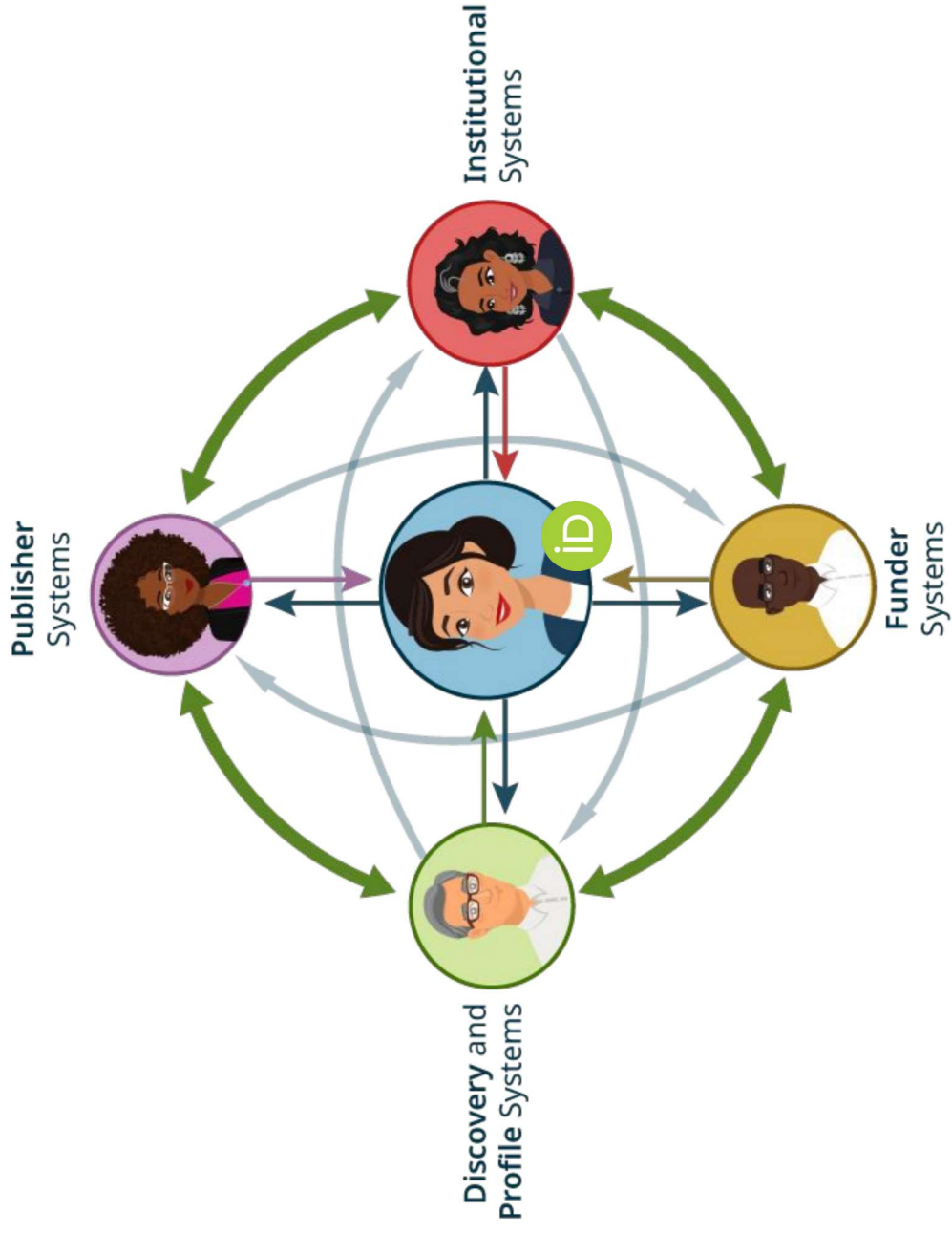
1. Advanced Photon Source
2. Argonne Leadership Computing Facility
3. Argonne National Laboratory Library
4. Brookhaven National Laboratory
5. Center for Nanoscale Materials
6. Lawrence Berkeley National Laboratory
7. Los Alamos National Laboratory
8. Oak Ridge National Laboratory (ORNL)
9. Pacific Northwest National Laboratory
10. Princeton Plasma Physics Laboratory



## Why are we all doing this again...?

1. Streamline workflows
2. Populate data in researcher's profiles for them
3. Connect your systems — enable auto updates
4. Help researchers meet their disclosure requirements





ORCID enables interoperability throughout the research ecosystem

## What Universities can do next to prepare for these changes

- Does your university have ORCID membership?
- Which campus systems are connected to ORCID?
- Discuss who is going to write data to the ORCID profiles of your researchers?
- Form a working group to plan





# Sign-up for your own ORCID iD

Printable version

Is this your? [Sign in to start editing](#)

Published name  
**Sofia Maria Hernandez Garcia**

Name  
Sofia Garcia

Also known as  
S. M. Garcia, Sofia Maria Garcia

## Biography

Sofia Maria Hernandez Garcia is used for testing and demonstrating ORCID records.

## Activities

### Employment (2)

#### New Arizona State University: Sedona, Arizona, US

2015-09 to present | Associate Professor (Department of Geography)  
Employment

Source: Sofia Maria Hernandez Garcia

#### ORCID: Bethesda, Maryland, US

2014-05-01 to 2019-10-25 | Engagement Lead  
Employment

Source: ORCID via Assert-o-matic

### Education and qualifications (4)

#### London School of Physics: London, GB

2016 to 2018 | PhD (Computer Science)  
Qualification

Source: Sofia Maria Hernandez Garcia

#### Universidad Politécnica de Madrid: Madrid, Comunidad de Madrid, ES

2008-09 to 2012-05 | BA Computer Science  
Education

Source: Sofia Maria Hernandez Garcia

iD

[https://orcid.org/  
0000-0001-5727-2427](https://orcid.org/0000-0001-5727-2427)

## Emails

s.garcia@orcid.org

## Websites & social links

Faculty profile webpage  
@sofiaring

## Other IDs

Profile system identifier: A-123456  
ResearcherID: L-8716-2018  
eScientist: 0000-0001-5727-2427

## Countries

United States

Collapse all

Sort

Show more detail

Show more detail

Sort

Show more detail

Show more detail



ORCID US Community  
[orcidus@lyrasis.org](mailto:orcidus@lyrasis.org)



Shawna Sadler  
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[lschultz@arizona.edu](mailto:lschultz@arizona.edu)

